

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE: Application of: Mladen MERCEP, et al.

Serial No.: To be assigned

Art Unit: To be assigned

Filing Date: Concurrently Herewith

Examiner: To be assigned

For: USE OF BENZONAPHTHOAZULENES FOR THE MANUFACTURE OF PHARMACEUTICAL FORMULATIONS FOR THE TREATMENT AND PREVENTION OF CENTRAL NERVOUS SYSTEM DISEASES AND DISORDERS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request that the references identified on Form PTO-1449 appended hereto be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR 1.97

- ☐ Copies of the following references are enclosed.
- ☐ Copies of the references were submitted in parent application Serial No._____. (37 CFR 1.98(d))
- ☒ A copy of the International Search Report which issued on International Application No. PCT/HR2005/000008 is submitted herewith. All of the publications cited in the International Search Report are listed on the attached form PTO-1449 and Applicants understand that copies have been supplied to the U.S. Patent Office by the International Bureau.

- A. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of the above application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 CFR 1.97(b).

OR

- [] The Information Disclosure Statement submitted herewith is being filed before the mailing of a first office action after the filing of a Request For Continued Examination under 37 C.F.R. 1.114 (37 C.F.R. 1.97(b)(4)).

- B. [] The Information Disclosure Statement transmitted herewith is being filed **after** three months of the filing date of the above application or the date of entry into the national stage as set forth in § 1.491 of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last, but **before** the mailing date of either:
- (1) a final action under § 1.113 or
 - (2) a notice of allowance under § 1.311,
- whichever occurs first.

- [] Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

- ☐ Applicant elects the option to pay the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under § 1.97(c) (\$180.00).

§ 1.113
AP20 Rec'd PCT/PTO 28 JUL 2006

- C. ☐ The Information Disclosure Statement transmitted herewith is being filed **after** a final action under § 1.113, or a notice of allowance under § 1.311, whichever occurs first, but before the payment of the issue fee. Also enclosed is a copy of the International Search Report which Issued on International Publication No.

In accordance with the requirements of 37 CFR 1.97(d):

- ☐ Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. **[or]**
- ☐ Applicant hereby certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement; and
- ☐ The petition fee set forth in § 1.17(i)(1) (\$180.00) is submitted herewith.

☒ Please charge any required fees to Deposit Account No.07-1392.

☒ A duplicate copy of this paper is attached.

Respectfully Submitted,



Frank P. Grassler, Attorney of Record
Registration No. 31,164

Date: July 28, 2006
GlaxoSmithKline
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Telephone: (919) 483-2482
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10/587823

- C. ☐ The Information Disclosure Statement transmitted herewith is being filed **after** a final action under § 1.113, or a notice of allowance under § 1.311, whichever occurs first, but before the payment of the issue fee. Also enclosed is a copy of the International Search Report which Issued on International Publication No.

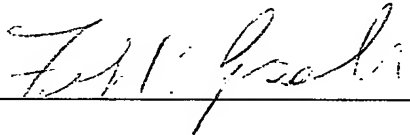
In accordance with the requirements of 37 CFR 1.97(d):

- ☐ Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. [or]
- ☐ Applicant hereby certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement; and
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FORM PTO-1449
INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.
PLP537

SERIAL NO.
1000000023
To be assigned

APPLICANT: Mladen MERCEP, et al.

FILING DATE:
Concurrently Herewith

GROUP
To be assigned

U.S. PATENT DOCUMENTS

| Examiner Initials | | Patent Number | Issue Date | Name | Class | Subclass | Filing Date If Appropriate |
|----------------------|----|------------------|------------|----------------|-------|----------|-------------------------------|
| | 1. | 2003/153,750 | 08/14/2003 | MLADEN, et al. | | | |
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| | | Document Number | Publication Date | Country | Class | Subclass | Translation Yes No |
|--|----|--------------------|---------------------|---------|-------|----------|-------------------------|
| | 2. | 99/19,317 | 04/22/1999 | PCT | | | |
| | 3. | 03/084,961 | 10/16/2003 | PCT | | | |
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OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)

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|--|----|--|--|--|--|--|--|
| | 4. | Sperling, W., et al., "New tetracyclic antidepressants", <i>Drugs of Today</i> , vol. 33, no. 2, 1997 Spain, pp. 95-102. | | | | | |
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EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.